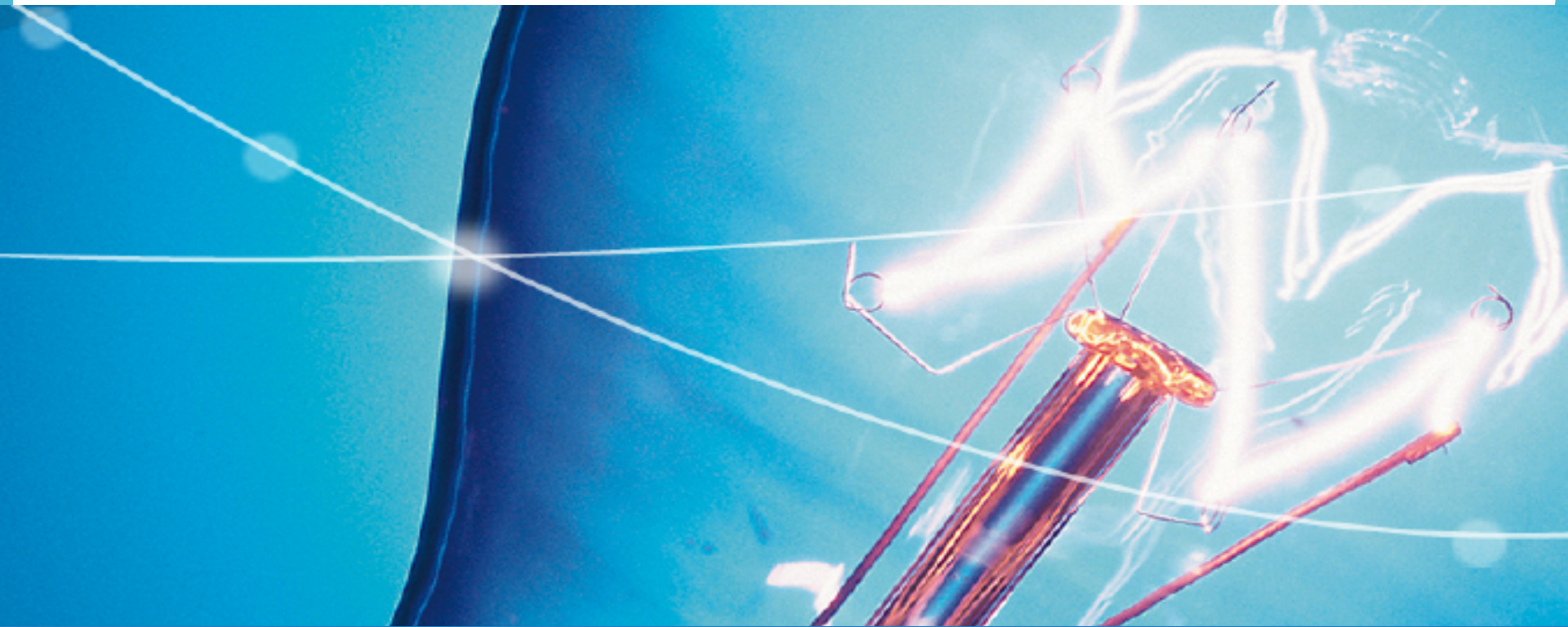




Research performance assessment in interdisciplinary research: two case studies for Germany and the UK

Bonn, 14/05/2013





Topics for today

- Challenges for reporting on different classifications
- Case study: KIT disciplinary reporting
- Case study: Research Excellence Framework reporting

- Results from each project may be in different disciplines
- Reports desired out of several perspectives: organisation, discipline, theme, ... and other classifications at the same time!
- Evaluation schemes / classifications changing over time

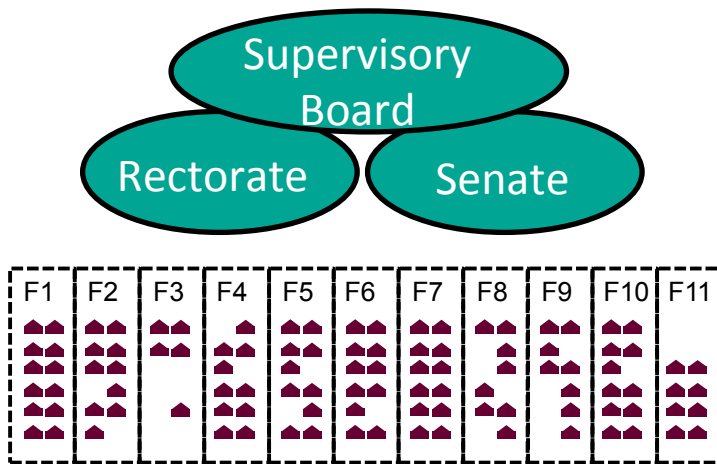


- **Result:** 1 publication on public acceptance of nanomaterials for energy storage
- **Views:**
 - Org unit: institute of nano-toxicology
 - Discipline: social science
 - Theme: energy storage
- **Evaluation:** according to different classifications (DFG, THE, Wissenschaftsrat, ...)

CRIS data on the organisation:

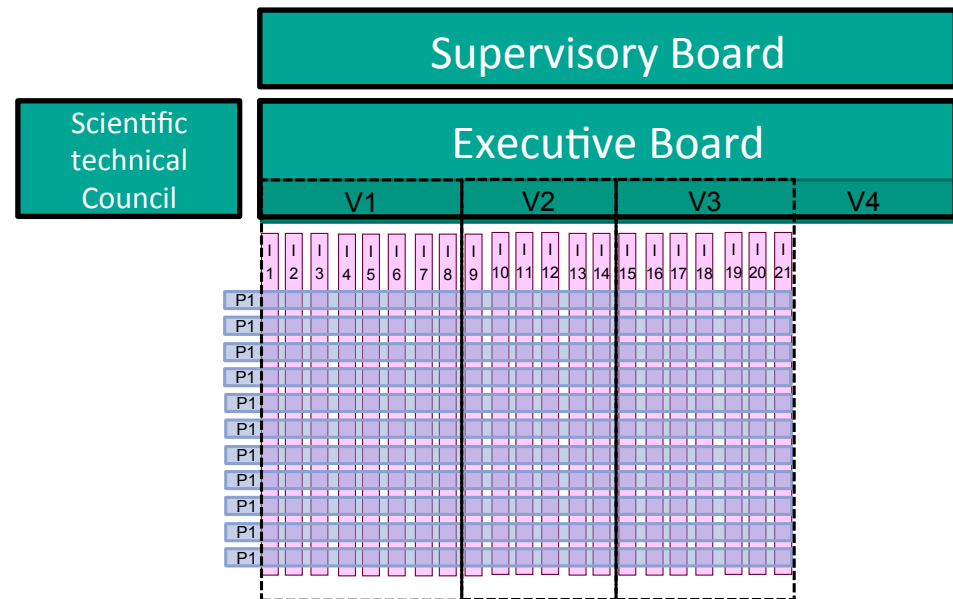
Org structure vs. Thematic matrix due to merger

University of Karlsruhe



disciplinary/hierarchical

Research Centre Karlsruhe (FZK)



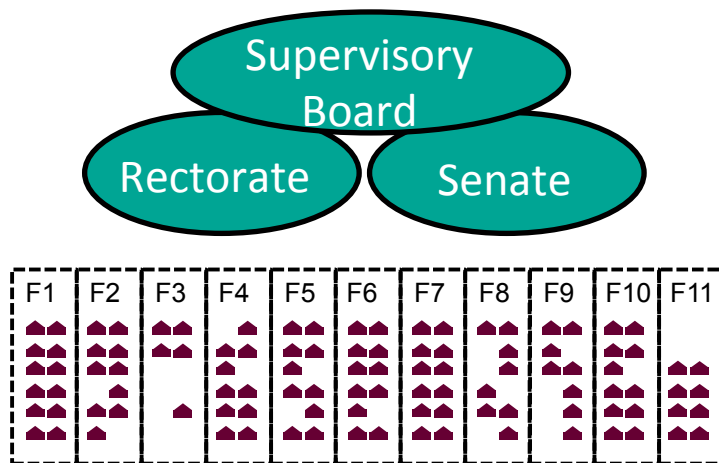
Thematic matrix



CRIS data on the organisation:

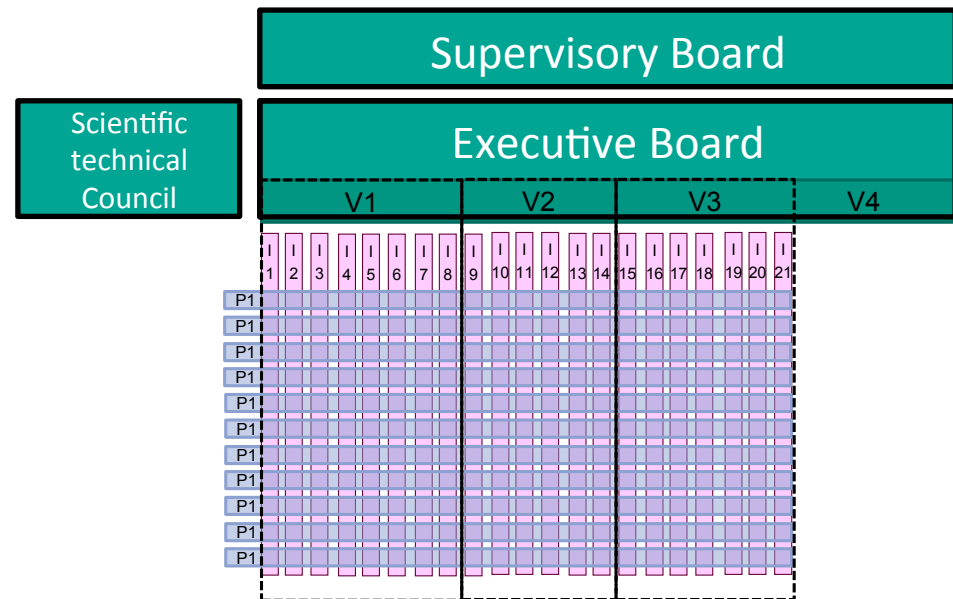
Org structure vs. Thematic matrix due to merger

University of Karlsruhe



disciplinary/hierarchical

Research Centre Karlsruhe (FZK)



Thematic matrix

Problem: organisational structure supports either disciplinary or thematic view (or none)

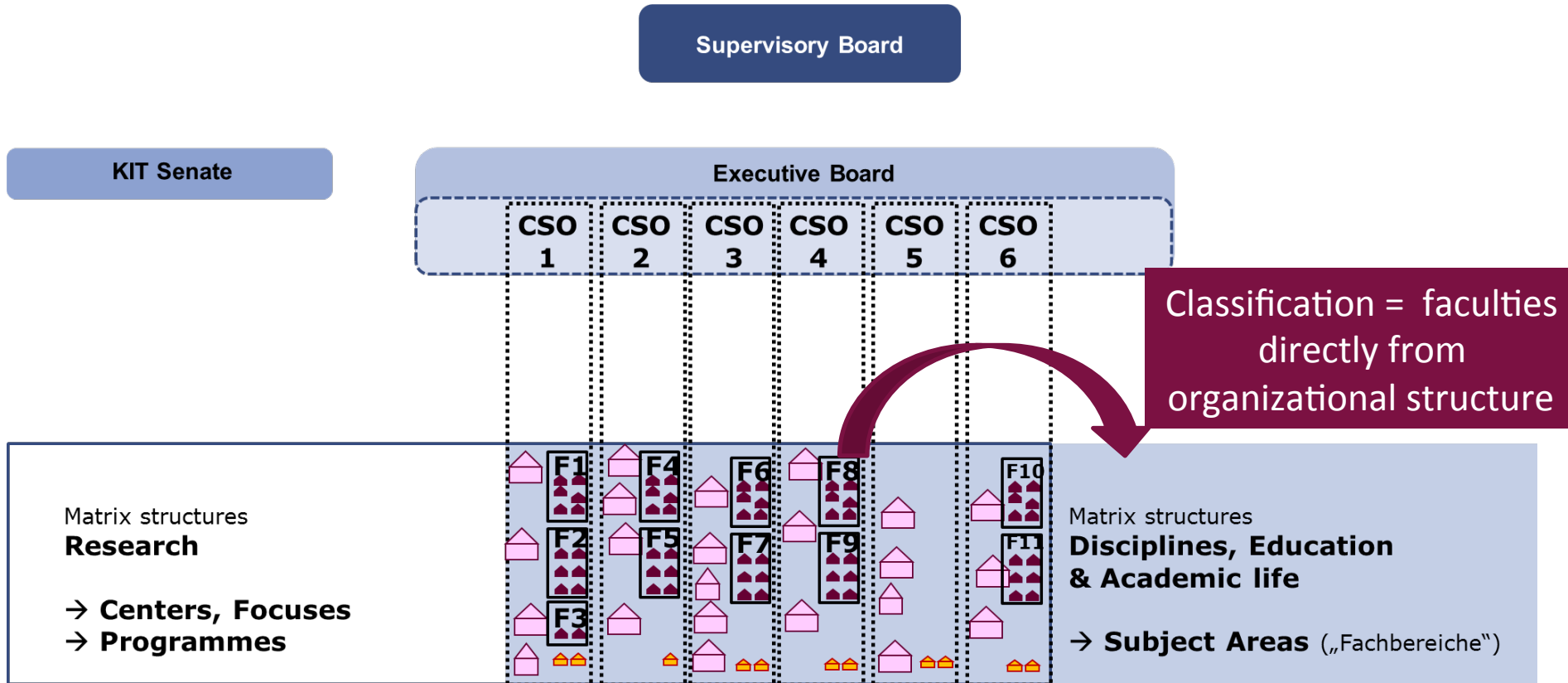


Intelligent mapping from organisational structure to disciplinary view!



Mixed organizational structure at KIT (university & research centre)

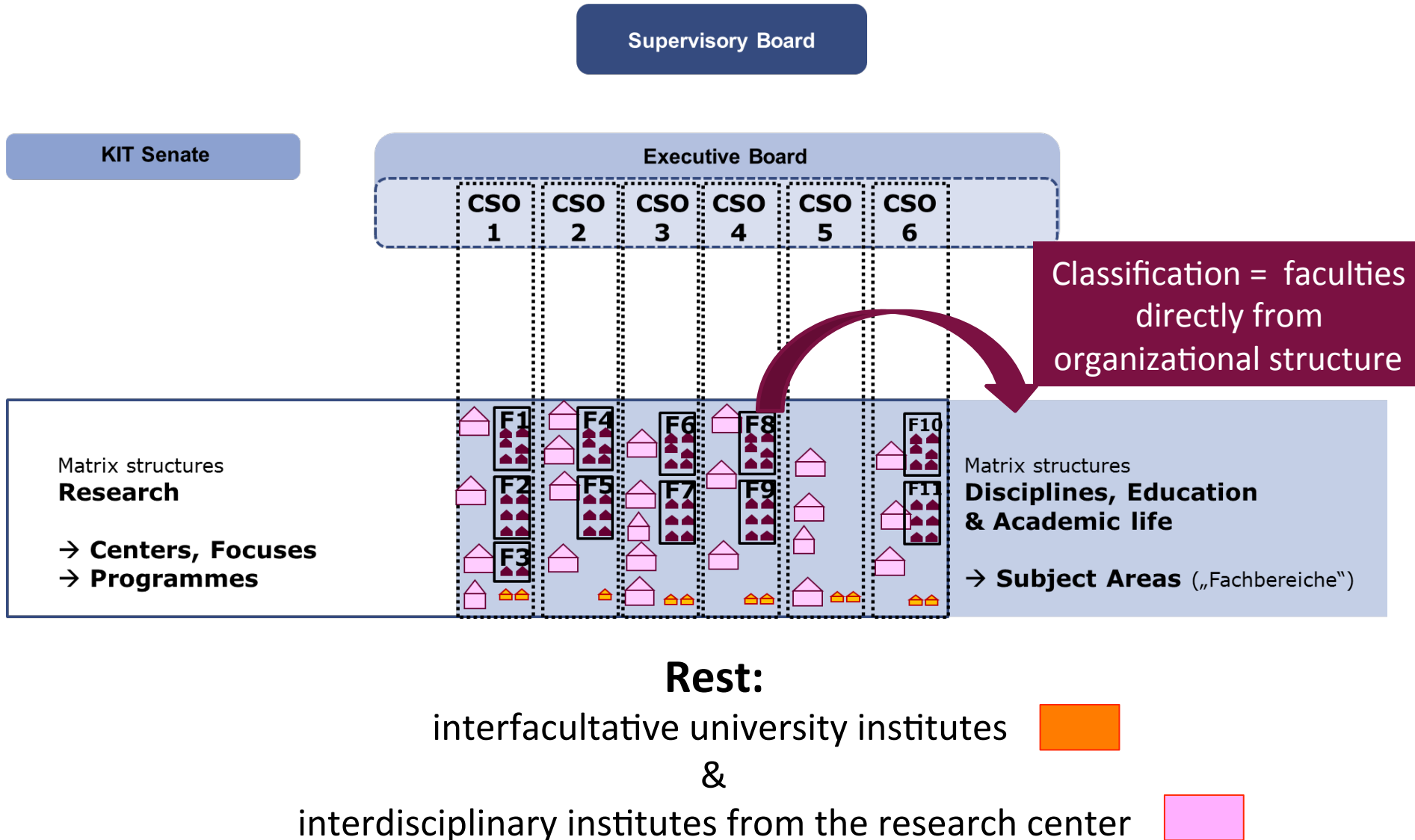
Disciplinary view!





Mixed organizational structure at KIT (university & research centre)

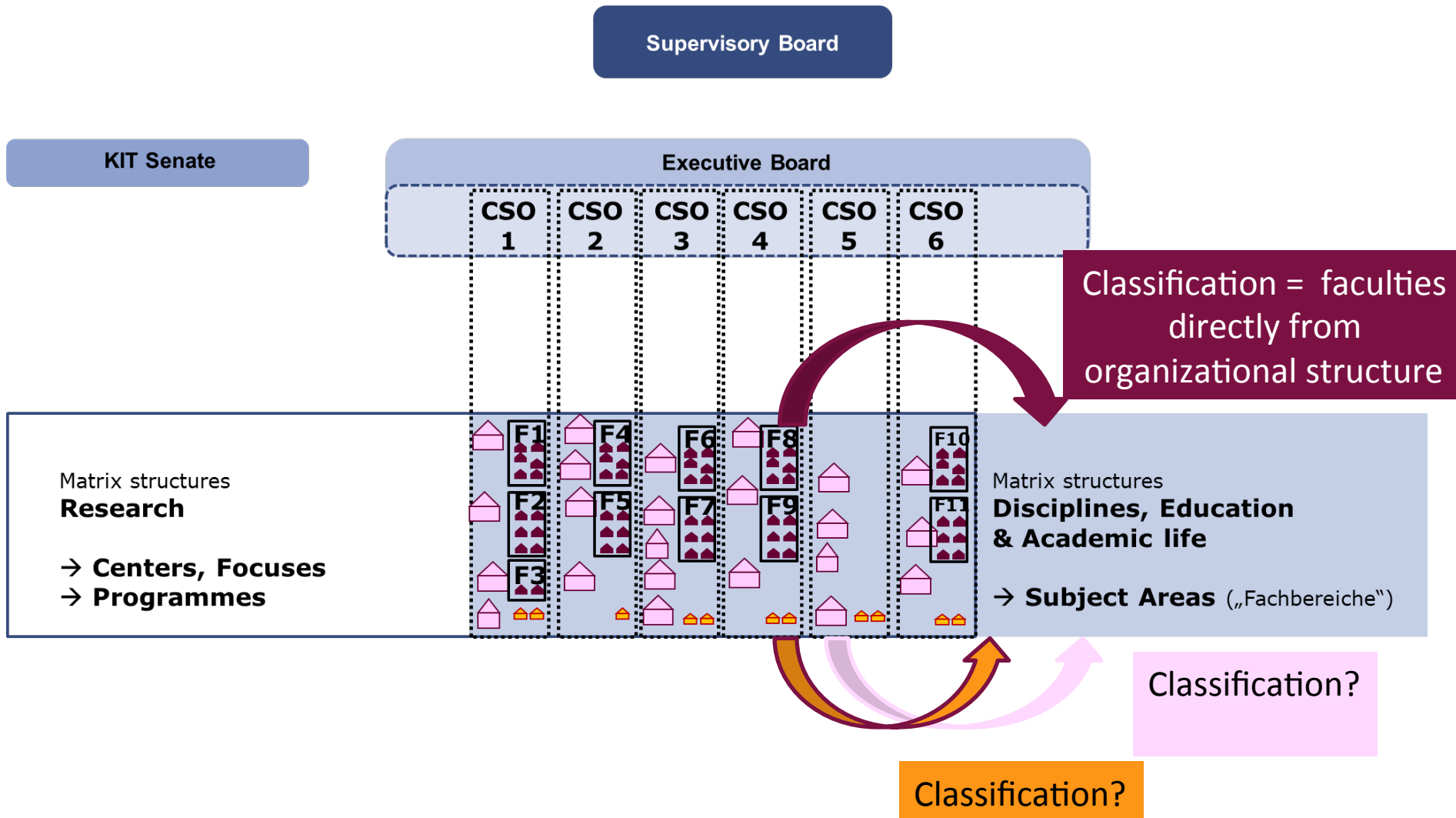
Disciplinary view!





Mixed organizational structure at KIT (university & research centre)

Disciplinary view!

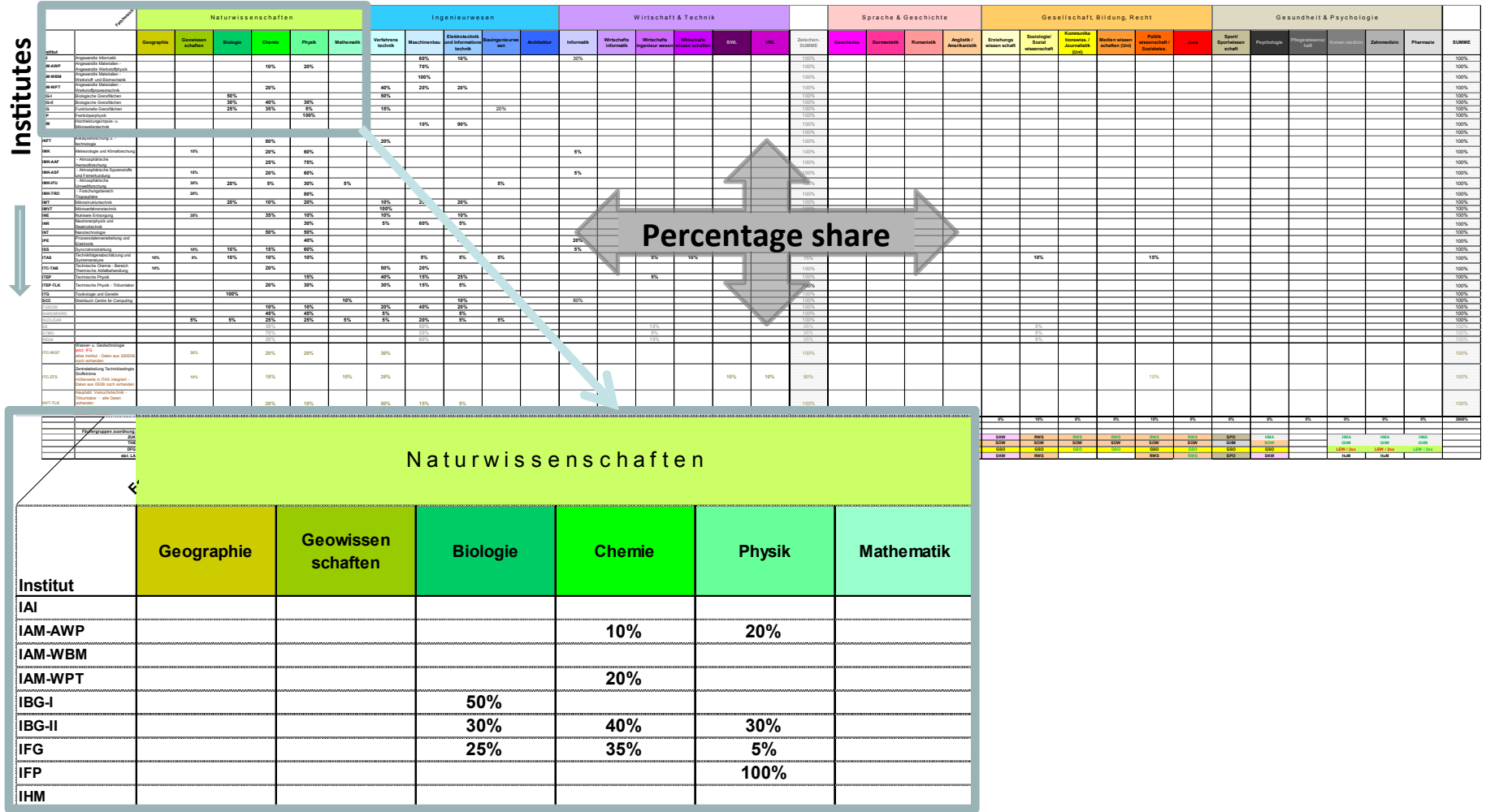




Percentage share

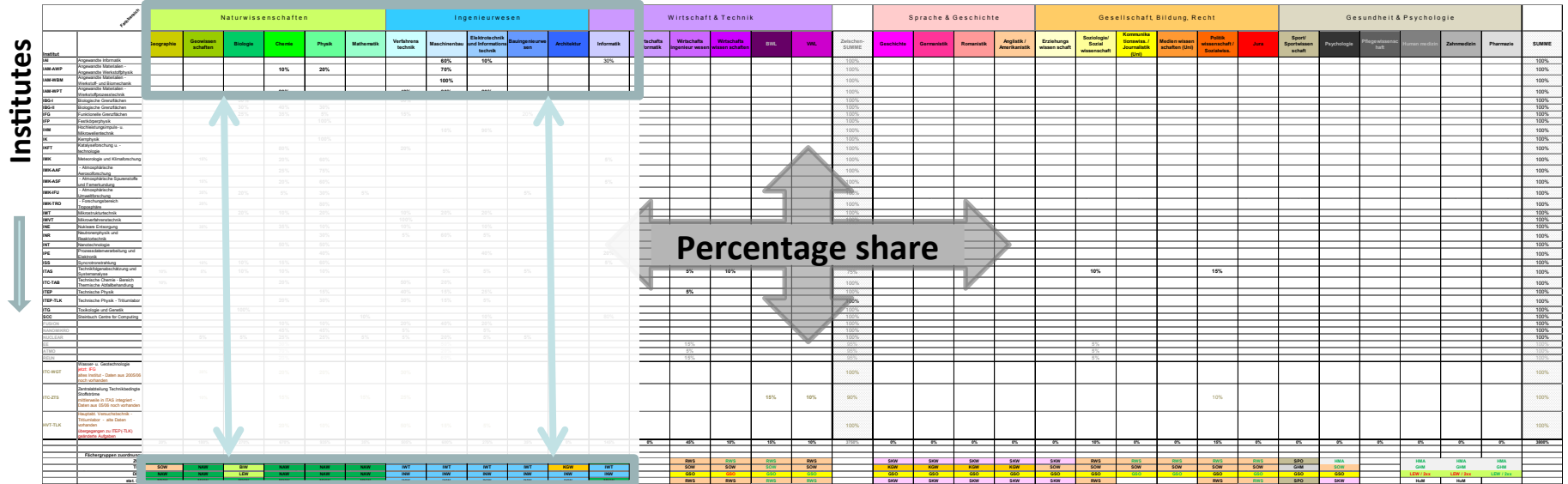
Mapping org structure → discipline by expert judgement

Disciplines



Mapping org structure → discipline by expert judgement

Disciplines

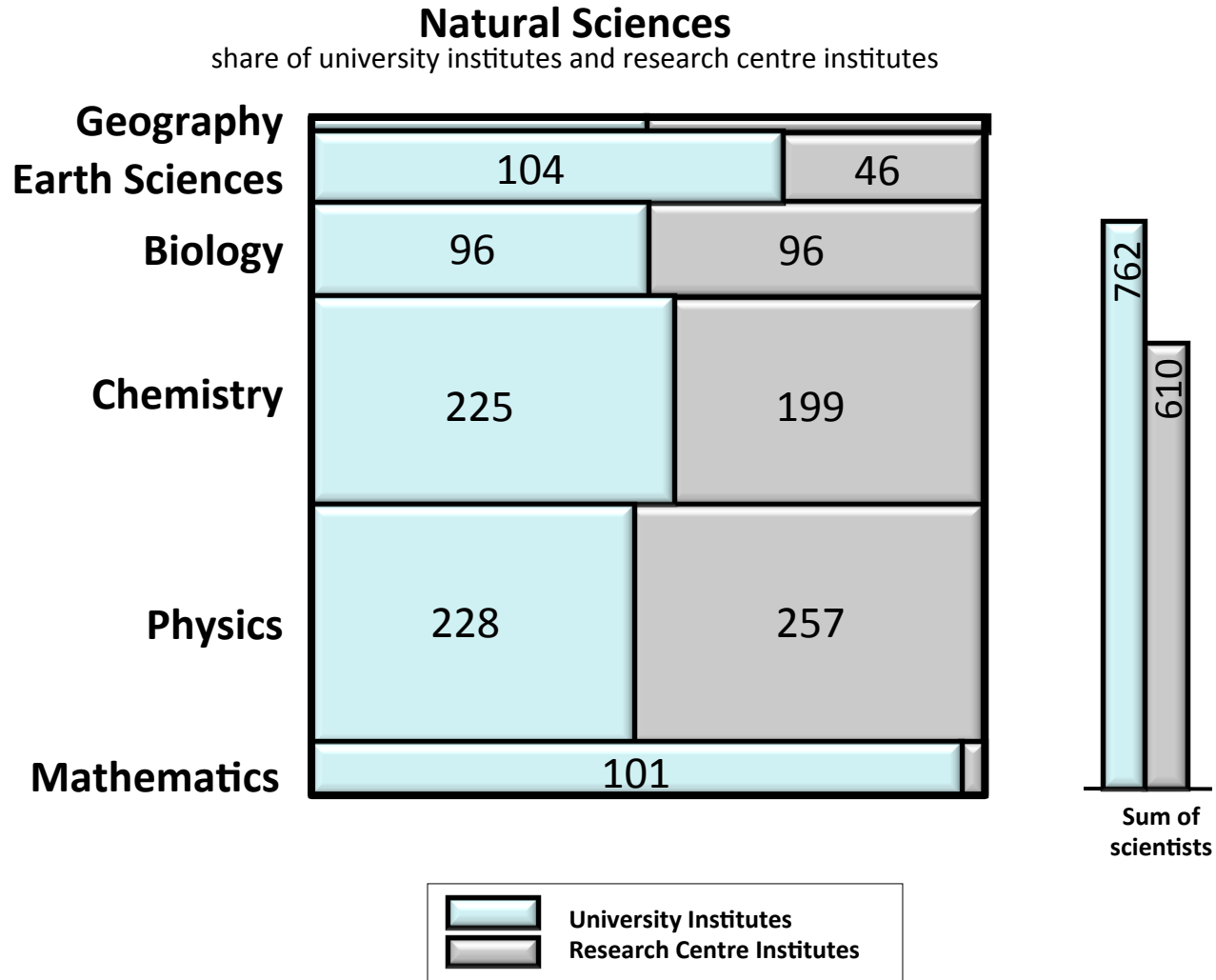


ZUK
THE
DFG
Stat. LA

Naturwissenschaften						Ingenieurwesen						
Geographie	Geowissenschaften	Biologie	Chemie	Physik	Mathematik	Verfahrenstechnik	Maschinenbau	Elektrotechnik und Informationstechnik	Bauingenieurwesen	Architektur	Informatik	
			10%	20%			60%	10%			30%	
			20%				70%					
			20%			40%	20%	20%				
		50%				50%						
		30%	40%	30%								
MNW	MNW	MNW	MNW	MNW	MNW	INW	INW	INW	INW	INW	MNW	
SOW	NAW	BIW	NAW	NAW	NAW	IWT	IWT	IWT	IWT	KGW	IWT	
NAW	NAW	LEW	NAW	NAW	NAW	INW	INW	INW	INW	INW	INW	
MNW	MNW	MNW	MNW	MNW	MNW	INW	INW	INW	INW	INW	MNW	



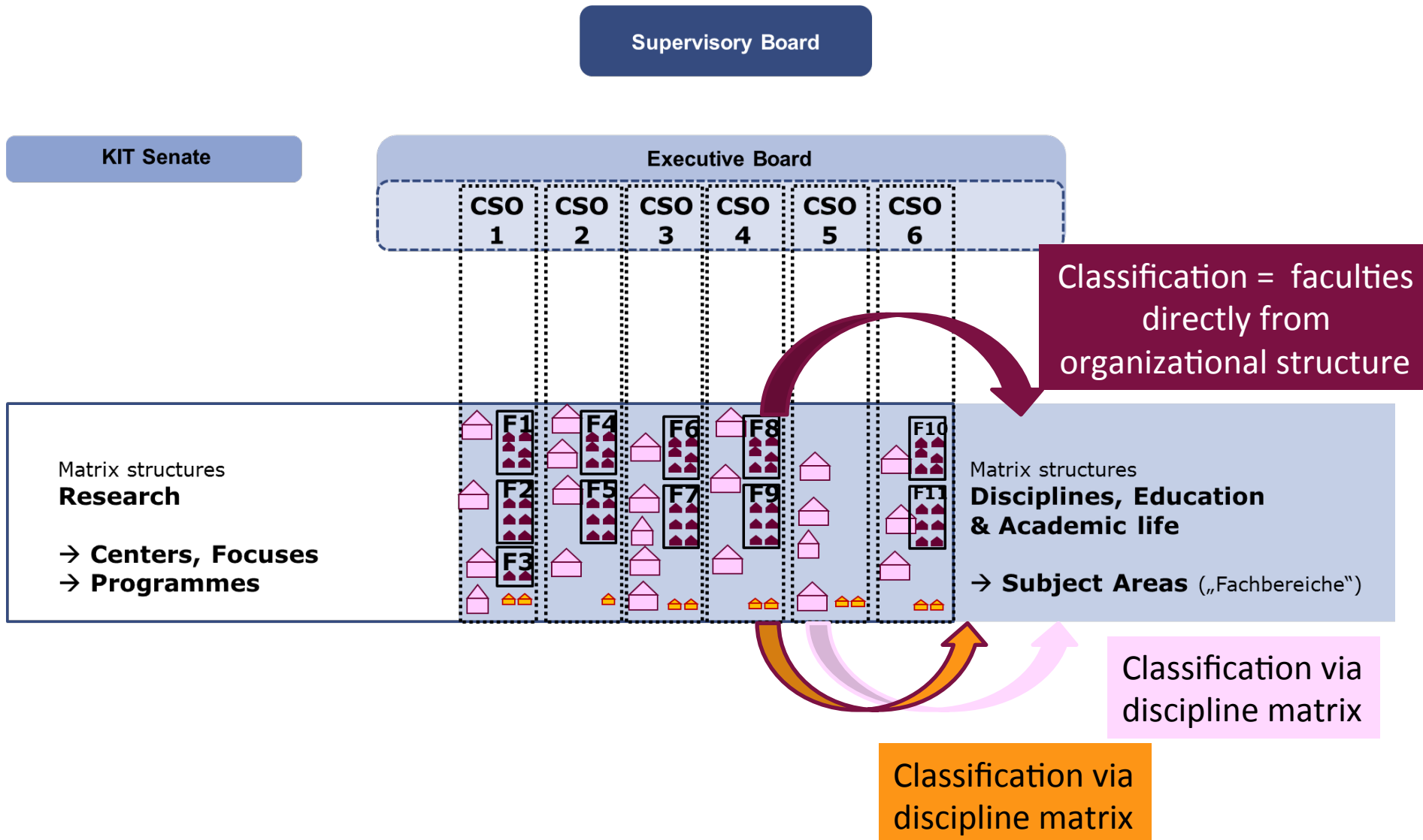
Result: Example Disciplinary view on personnel





Mixed organizational structure at KIT (university & research centre)

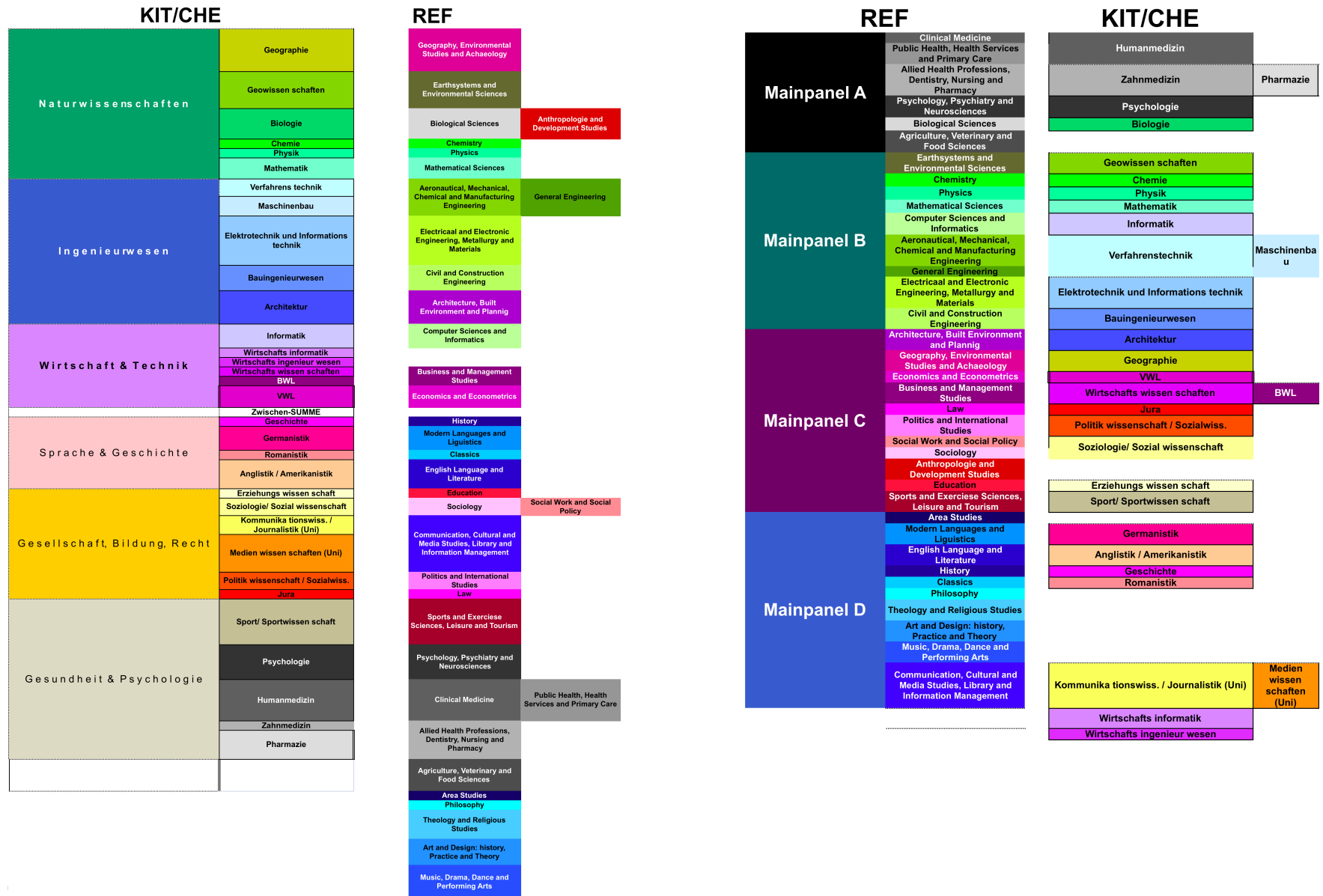
Disciplinary view!





Discipline Mapping KIT-to-REF & REF-to-KIT

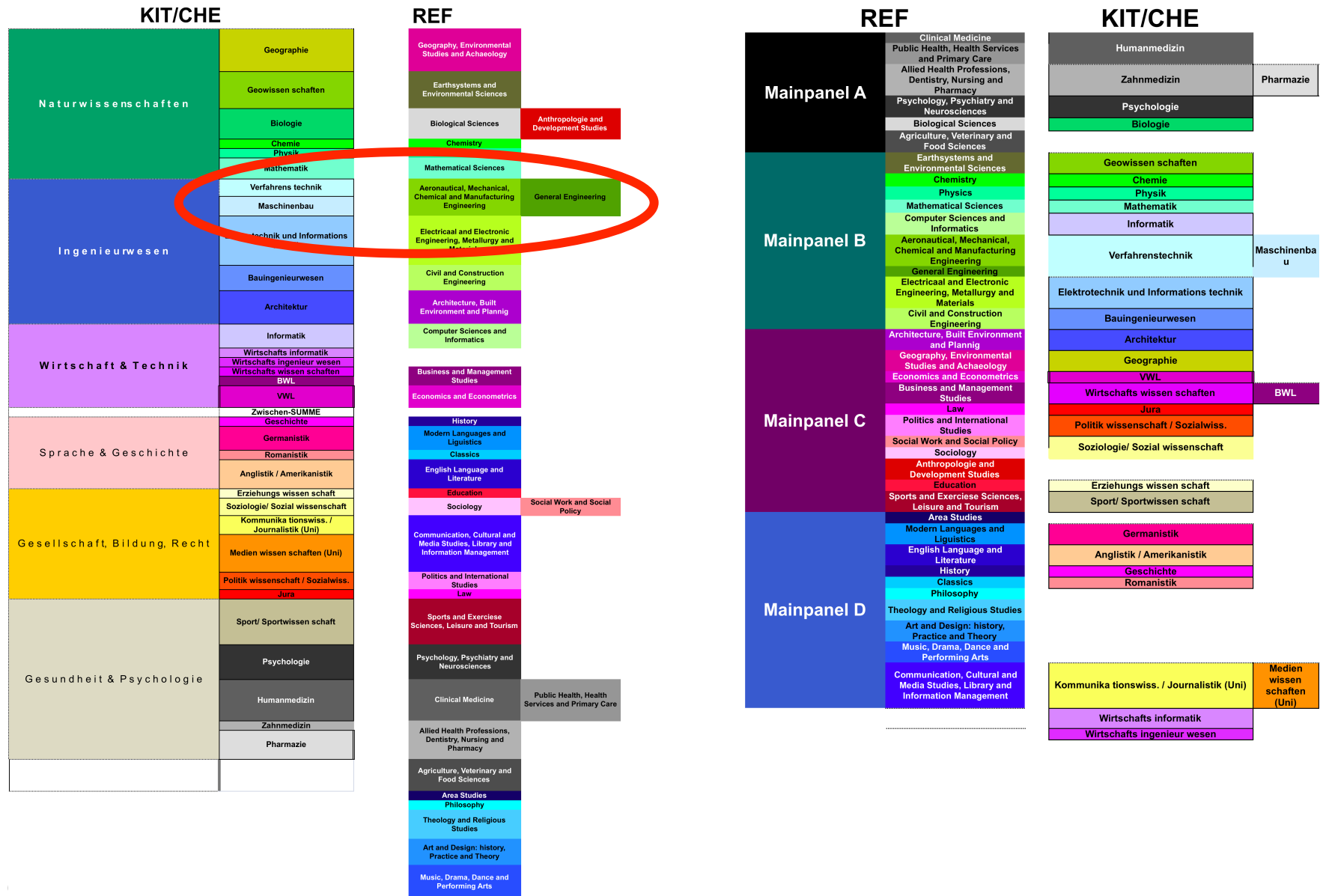
Initial KIT mapping fits quite well to REF, but different aggregations!





Discipline Mapping KIT-to-REF & REF-to-KIT

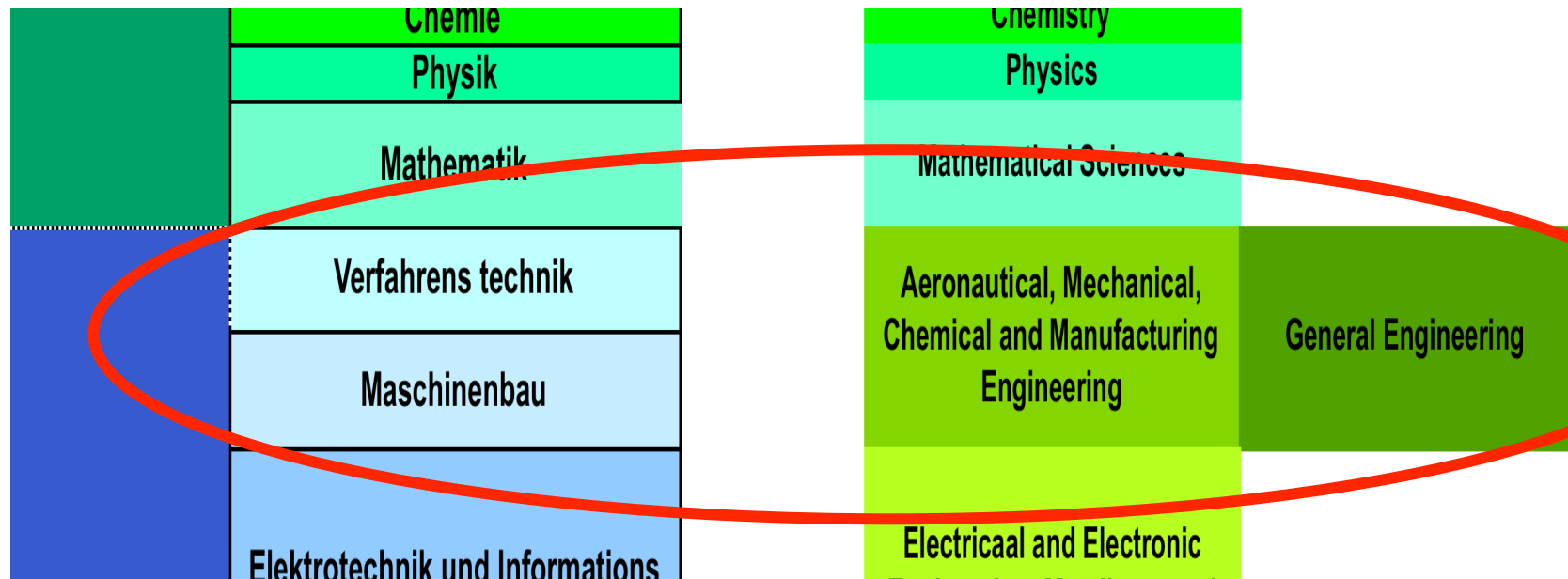
Initial KIT mapping fits quite well to REF, but different aggregations!





Discipline Mapping KIT-to-REF & REF-to-KIT

At some points improvements/clarification of definitions is needed!





CONVERIS REF Module





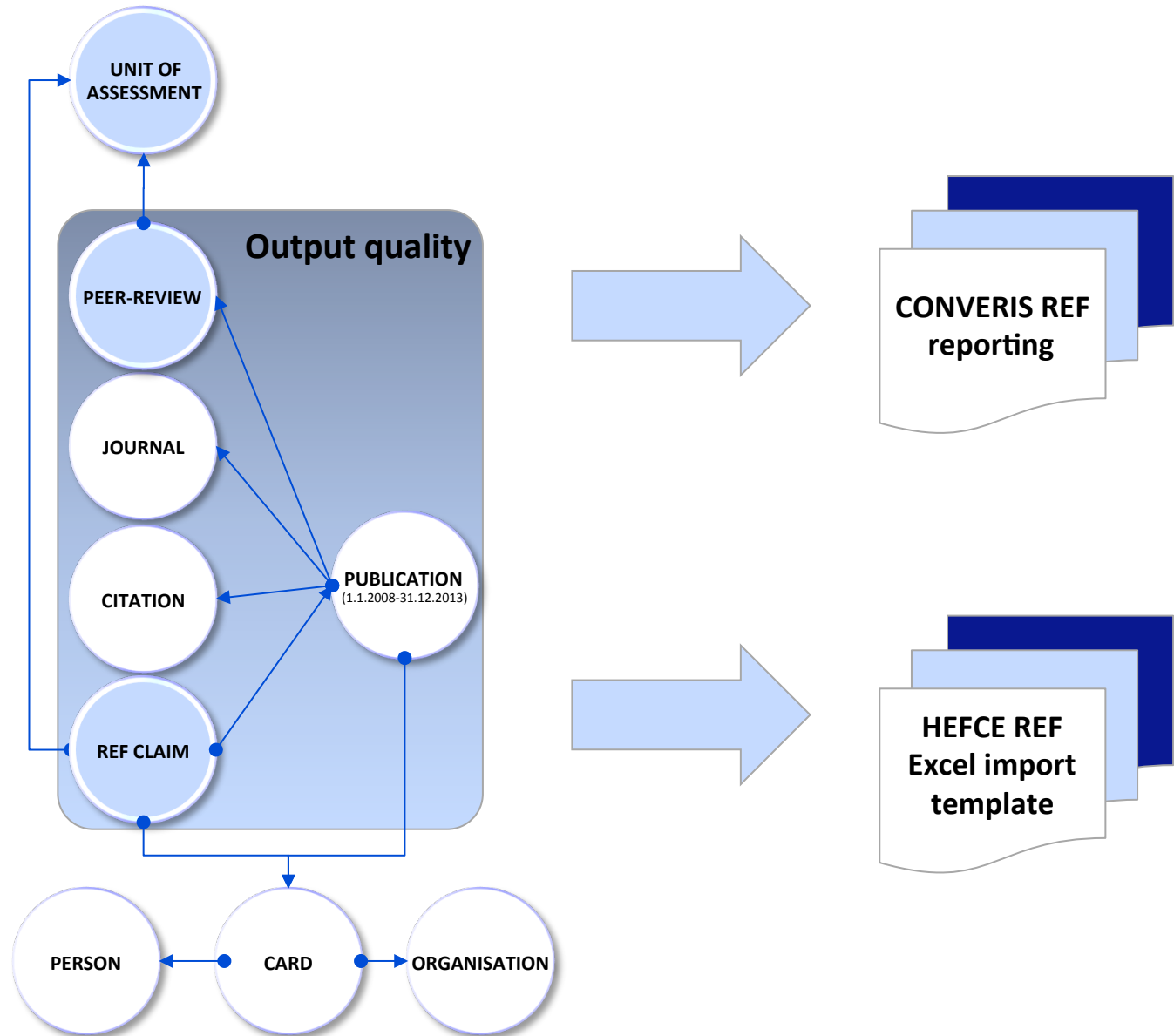
Focus on the Output Quality dimension:

- Facilitate for the institution to identify and select:
 - the (usually) 4 outputs per researcher to submit to the REF
 - the staff to submit
 - ...and assigned to the most suitable Unit of Assessment
- Enable peer-review (and journal) ratings per output
- Produce REF reports with an indicative Quality Profile to guide the selection process
- Export the data in HEFCE-specified Excel template format



Roles

- Researcher
- Peer-reviewer
- Unit Lead
- REF Manager





REF Reporting

**delivered by the new CONVERIS
Analytics reporting tool**



The REF report can be delivered in **PDF, Word** and **Excel** and **more** for easy circulation and review



REF2014 Report

Fr Feb 08 15:17:39 MEZ 2013

Submission profile for (01) Clinical Medicine

Name	SC	FTE	#O	#RO	GPA O	GPA RO	Output 1	Output 2	Output 3	Output 4		
Bokma, A.	-	1	3	2	3,33	5	4"	Bokma, A.	3"	3"	Gruber, A., Bokma, A.	
Carmichael, N.	-	-	1	4	2	0,5	2"	Clark, J.				
Dinger, J.	A	-	4	4	0	0	N	Hoeltig, T., Hoeltig, T.	N	Hoeltig, T., Hoeltig, T.	N	Hoeltig, T., Hoeltig, T.
Engler, A.	A	-	1	2	0	0	U	Hoeltig, T., Hoeltig, T.				
Hoeltig, T.	A	0,8	1	1	0	0	N					
Jgerhorn, M.	A	1	2	3	2	1,33	4"	N				
Rudolph, R.	-	-	1	1	0	0	N	Schaefer, W.				
Schaefer, W.	-	-	2	4	2	1	N	4"				
Smith, M.	C	0,8	0	4	0	0						
No. of Claims:	5				Average:	1,04	0,87					

SC: Staff category / FTE: Full-time equivalent / #O: Number of outputs / #RO: Required outputs / GPA O: GPA (average) of outputs / GPA RO: GPA (based on number of required outputs) / Output: Output being the subject of the evaluation / Output being: The subject of the evaluation

	REF2014 Report	Fr Feb 08 15:17:39 MEZ 2013
Outputs for (01) Clinical Medicine		
(01) Clinical Medicine is embedded in the output file a combination table of (01).		
Bokma, A.		
DBL	1 4 th The Anti-Inflammatory Properties of Neurofen. In: Acta Medica Austriaca. 23(4): 2011. pp. 45-56. 2 3 rd The Benefits of Using Vacuum Sponges for Preparing Injuries for Skin Grafts. 2012. In: Acta Medica Austriaca. 23 (2); pp. 23-34. ISBN: 123456789. 3 3 rd The effects of Aspirin on the Thinning of Blood. Jgertorn M. 2010. In: Acta Medica Austriaca. 23 (2); pp. 23-34. 4 N The benefits of garlic in the diet. 2009. In: Acta Medica Austriaca. 12 (2); pp. 123-145.	
Carmichael, N.		
	1 2 nd Using mode of action information to improve regulatory decision-making: An ECOTOX/ILSI/RFH/ESD workshop overview. Carmichael N, Bausen M, Boosfs AR, Cohen SM, Embry M, Frutiger-Poloth C, Greim H, Lewis R, Meek ME, Mellor H, Vokors C, Doe J. 2011. In: CRITICAL REVIEWS IN TOXICOLOGY. 41 (3); pp. 175-186.	
Dinger, J.		
	1 N User-controlled automated identity delegation. Hoelting T, Kuehner H, Dinger J, Hartenstein H. 2010. In: Proceedings of the 2010 International Conference on Network and Service Management, NetSci 2010. 4 (7); pp. 230-233.	
MUL	2 N FedVicare: Middleware services to cope with information consistency in federated information management. Hoelting T, Dinger J, Hartenstein H. 2010. In: AREO 2010 - 5th International Conference on Availability, Reliability, and Security. 4 (4); pp. 225-235.	
MUL	3 N A consistency mode for identity information in distributed systems. Hoelting T, Dinger J, Hartenstein H. 2010. In: Proceedings - International Computer Software and Applications Conference. 3 (5); pp. 252-261. ISBN: 0730-3167.	
MUL	4 N Extension for information card systems to achieve User-Controlled Automated Identity Delegation. Hoelting T, Kuehner H, Dinger J, Hartenstein H. 2011. In: Proceedings of the 12th IFIP/IEEE International Symposium on Integrated Network Management, IM 2011. 4 (1); pp. 1188-1191.	
Engfer, A.		
	1 U Connecting Closed World Research Information Systems Through the Linked Open Data Web. Joern B, Ruiz-Rube J, Stalla MA, Dvorak J, Jeffery K, Hoelting T, Kraussmuen H, Engfer A, Vestian T, Elmocani EG. 2012. In: INTERNATIONAL JOURNAL OF SOFTWARE ENGINEERING AND KNOWLEDGE ENGINEERING. 22 (3); pp. 345-364.	
Hoeltrig, T.		
	1 N Informationskonsistenz im iterativen Identitätsmanagement [Elektronische Ressource] : Modellierung und Mechanismen. Hingl T. 2010. In: Informationskonsistenz im iterativen Identitätsmanagement [Elektronische Ressource] : Modellierung und Mechanismen. pp. T-325. ISBN: 3212323. eISBN: 43434-n734.	
Jgerhorn, M.		

5 / 13



REF export functionality

- Output submission data is exported in HEFCE-prescribed Excel import template format, enabling easy review prior to import into the HEFCE submission system

Output template (REF2)

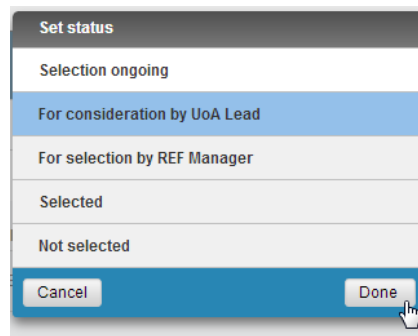
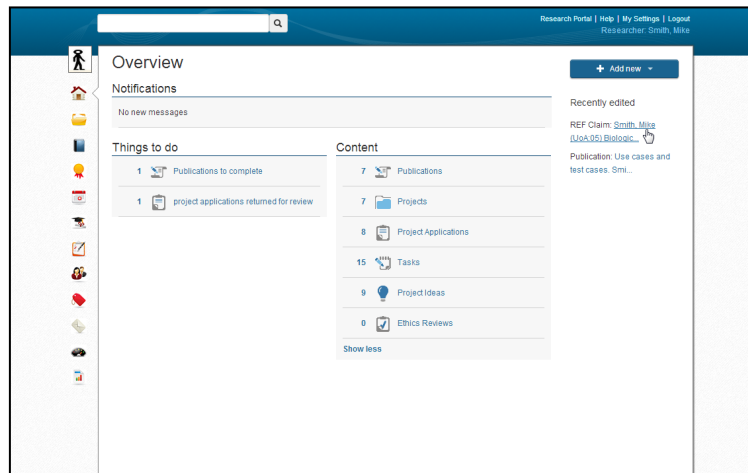
Staff template (REF1a)

D8	A	B	C	D	E	F	G	H	I	J
	institution	unit	OFAssessment	multipleSubmission	action	hesaStaffIdentifier	staffIdentifier	surname	initials	category
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2	12345	01	N	Update	'nonstandard'	6620	Carmichael			
3	12345	01	N	Update	'nonstandard'	6621	Dinger	J.	A	1974-0
4	12345	01	N	Update	'nonstandard'	6622	Engler	A.	A	1978-0
5	12345	01	N	Update	'nonstandard'	6637	Hoelling			1985-0
6	12345	01	N	Update	'nonstandard'	6609	Jagerhorn			1977-1
7	12345	01	N	Update	'nonstandard'	6608	Rudolph			
8	12345	01	N	Update	'nonstandard'	6675	Schüssler	WS		
9	12345	01	N	Update	'nonstandard'	6679	Smith	M.S.	C	1980-0
10	12345	02	N	Update	'nonstandard'	6549	Doe	A.	1982-1	
11	12345	02	N	Update	'nonstandard'	6619	Hartenstein	H.	A.	1955-0
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15	12345	02	N	Update	'nonstandard'	6618	Kuehner	H.	A.	1963-09-04
16	12345	02	N	Update	'nonstandard'	6638	Mayer	C.		1966-12-30
17	12345	02	N	Update	'nonstandard'	6675	Schüssler	WS		
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19	12345	02	N	Update	'nonstandard'					
20										
21										
22										

A1	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S
	institution	unit	OFAssessment	multipleSubmission	action	hesaStaffIdentifier	staffIdentifier	outputNum	outputTitle	place	publisher	volume	title	volume	issue	firstPage	articleNum	issn
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6	12345	01	N	Update	'nonstandard'	6621	2	4198	Journal art FedWare		ARES	2014	4		228			
7	12345	01	N	Update	'nonstandard'	6621	3	4196	Journal art A consiste			Proceedin	3	5	252			0730-3157
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Researchers create and submit their REF claim



Home » REF Claims » Edit REF Claim

Smith, Mike (UoA:05) Biological Sciences

Status: Selection ongoing

Visibility: Only visible to me

Edit History

Save & close

1. Key Information *

Card Related to the REF Claim

Name	Status	Staff Category	Full-Time Equivalent (FTE)	Submit to REF	Comment	Researcher supporting evidence comment
Smith, Mike	Active	C	0,80			Michaels comment

Details for the REF Claim

Required outputs: 4

Unit of Assessment *

Biological Sciences (05)

Publications for the REF Claim

	Title	Publication status	Status	Submit to REF	Double weighting	Submissions comments	Cross referral	Reserve output
1	No time for testing (Smith M., 2012)	Published	For validation by library		☒		cross referral to informatics	2
2	Test automation methods (Smith M, 2010)	Published	For validation by library		☐			Select Res
3	Test case specification (Smith M, White S., 2013)	Published	For validation by library		☐			Select Res
4	Use cases and test cases (Smith M, 2013)	Published	For validation by library		☐			Select Res

Cancel Save Save & close



A CRIS ensures:

- A better data quality (e.g. through reuse of data from internal and external sources, automatic deduplication of outputs, validation workflows, ...)
- More efficient workflows with electronic approvals (peer-reviews, selection, evaluation, exporting and submitting)
- A generic approach to support performance assessments, not only the REF, for common elements like ratings (peer-reviews, journal ratings, bibliometrics, ranking, reporting and selection)